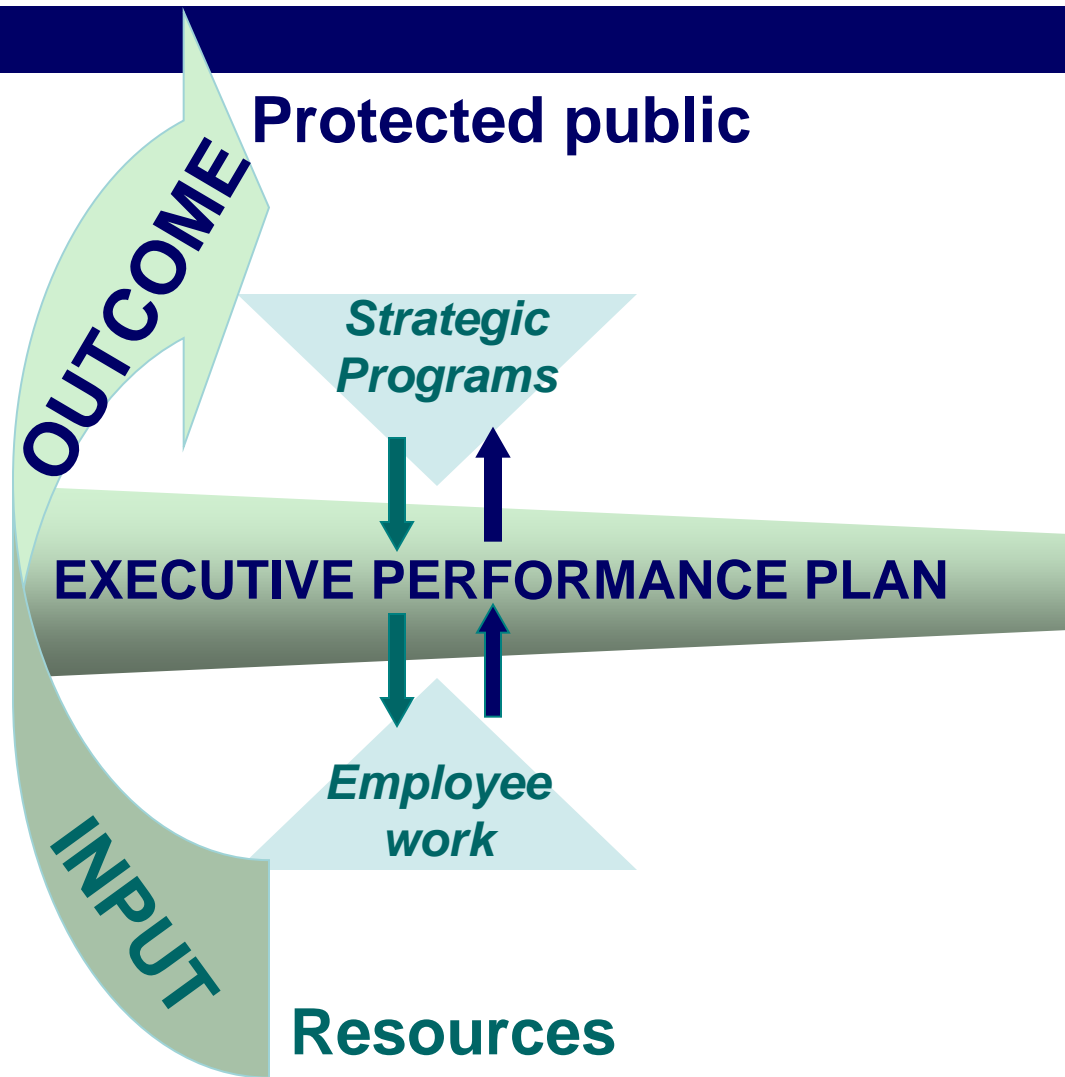


Creating Executive Performance Plans

A TOP-DOWN PERFORMANCE CULTURE



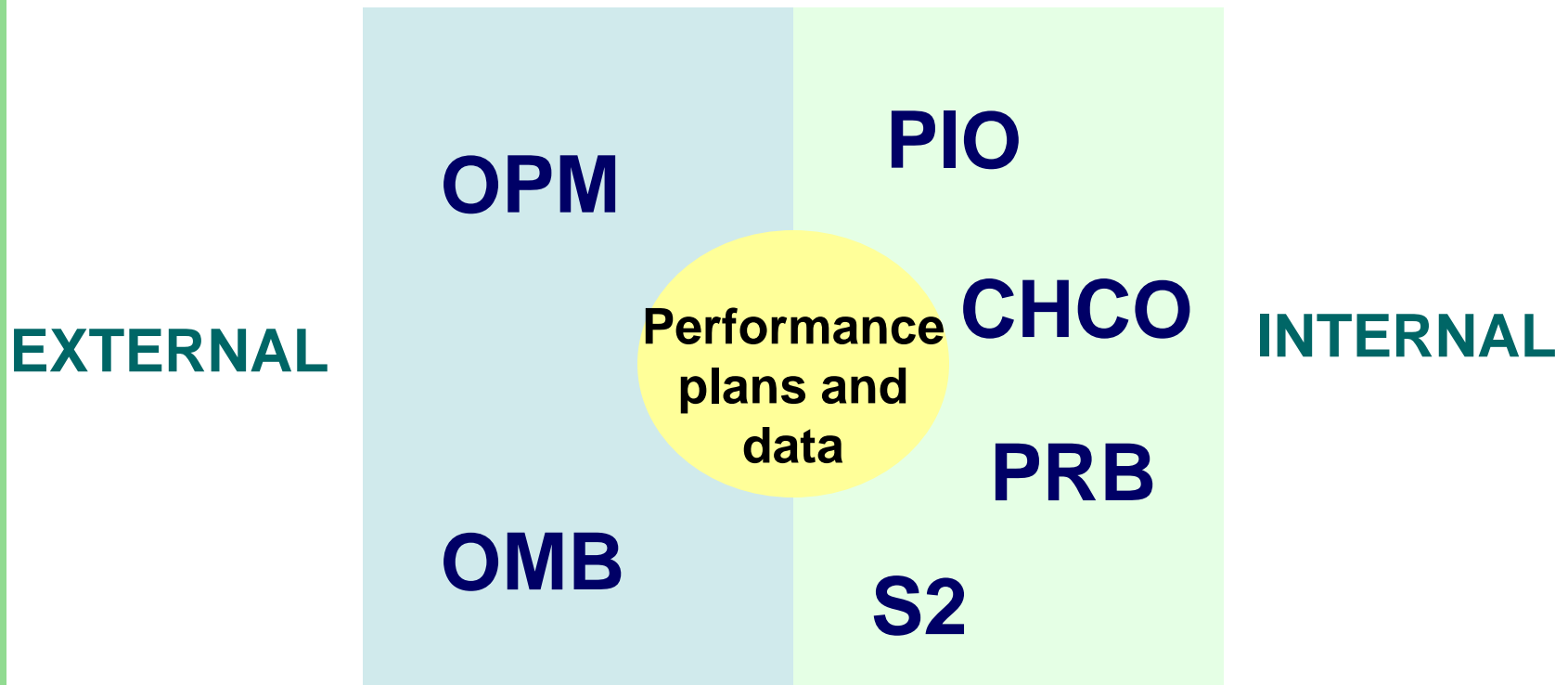
YOUR OBJECTIVE

Develop an executive performance plan which:

- describes the individual and organizational expectations for the performance appraisal period
- establishes critical elements and performance requirements against which performance will be evaluated
- builds accountability for accomplishing the Department's mission to a high standard of excellence
- meets OPM's oversight requirements for certified executive performance management systems
- passes joint review by OPM and OMB for strategic goal alignment and key program performance, measures and targets

PERFORMANCE COMMUNITY PARTNERS

Who looks at executive performance data?



A FOCUS ON CERTIFICATION

**Why should you be concerned about
OPM/OMB certification of executive
performance systems?**

- **certification criteria help focus performance plans on organizational goals**
- **approved, certified executive performance systems allow higher pay limits**

OPM CRITERIA

What qualities must performance plans have to meet OPM requirements?

- **Accountability**
- **Customer perspective**
- **Employee perspective**
- **Timeframe**
- **Consultation**
- **Measurable results**
- **Strategic alignment**

SOURCES OF HELP

Where can you get additional help?

- **Component Performance Improvement Council Officer (PIO) representatives**
- **Component Executive Resources staff**
- **DHS Executive Resources staff**
- **DHS PIO staff**

DEVELOPING PERFORMANCE PLANS



APPRAISED PERFORMANCE

What is the basis of executive performance appraisal?

A DHS executive is appraised annually for

- **leadership**
- **results**

THE CORE COMPETENCIES

What are the “core leadership competencies” expected of DHS executives?

- *Principled* – adheres to the highest ethical standards of public service and promotes a culture of integrity within DHS
- *Effective Communicator* – defines the mission for subordinates, colleagues and external partners with clarity; listens effectively and shares information, as appropriate
- *Performance Centered* – establishes and meets clear, measurable and meaningful goals in a timely manner, and uses good judgment in decision making

cont. CORE COMPETENCIES

- ***Diversity Advocate*** – promotes workforce diversity, provides fair and equitable recognition and equal opportunity, and promptly and appropriately addresses allegations of harassment or discrimination
- ***Highly Collaborative*** – partners effectively within and across DHS components and, as appropriate, with international, federal, state, local, tribal and private sector partners
- ***Nimble and Innovative*** – brings nimble, creative discipline to encourage continuous innovation in support of the DHS mission

cont. CORE COMPETENCIES

- ***Steward of Public Resources*** -- ensures financial and managerial accountability in executing fiduciary responsibilities and appropriately protects classified and other security-sensitive information
- ***People Centered*** -- engages, values, motivates, mentors, recruits, clearly directs and appropriately rewards DHS employees; fosters a safe working environment
- ***Information Sharing*** -- shares terrorism-related information in a manner consistent with protection of sources and methods, and legal standards relating to privacy and civil liberties

APPLYING COMPETENCIES

What competencies apply to me?

All core leadership competencies *apply* to all executives *except*:

- “Information Sharing”: applies to SES positions within the *Intelligence Community (IC)* only



Select “Information Sharing” when it applies and adjust the competency weight factor accordingly (all are weighted equally).

DEVELOPING PERFORMANCE PLANS



ELEMENT 2: EMPLOYEE-SPECIFIC

What are Critical Element 2
objectives?

- *employee-specific* objectives
- *measurable expectations* to be accomplished in the rating period

PERFORMANCE OBJECTIVES: 2 TYPES

How are my performance objectives identified?

Objectives comes from 2 sets of expectations:

1. *Department* programs**
2. *Component initiatives*

**** NOTE:** every executive must support at least one FYHSP program and incorporate relevant program goals, measures and annuals targets into performance plans. Consult your PIO representative to identify your FYHSP program responsibilities.

ELEMENT 2: CONTENT

What do I enter into the template?

- 3-5 performance *objectives (goals)*
- 5-7 *measures* for each objective
- specific levels of accomplishment (*targets*)
- clear *alignment* with strategic Department goals.

WRITING YOUR OWN OBJECTIVES

What's the “formula”?

Action verb + what + why + how

USING THE “FORMULA”

Action verb

Create

what

an effective removal process

why

that secures our nation

how

**by expeditiously removing
illegal aliens and other threats**

**Create an effective removal process that secures
our nation by expeditiously removing aliens and
other threats**

DEVELOPING PERFORMANCE PLANS



DEVELOPING MEASURES

What kinds of measures apply?

- *quantity* or number of things produced or services rendered, or level of improvement achieved
- *quality* of result (accuracy, effectiveness, approval, level of satisfaction)
- *timeliness* or ability to deliver “on time” or at a desired rate or speed
- *cost effectiveness* reducing time, staff, or waste

A RECIPE FOR STANDARDS

How do I write a good performance standard (measure + target)?

**Action verb + what + to get what + how much
+ by when**

EXAMPLE of STANDARD

OBJECTIVE: Create an effective removal process that secures our nation by expeditiously removing illegal aliens and other threats

Action verb

Increase

What

the number of worksite
enforcement investigations

To get what

result in *criminal arrests*

How much

by *50%*

By when

by *9/3/XX*

“So what?”

GOOD or BAD?

- Attend 4 regional strategic planning workshops by June 30, 20XX .
- Hold at least 1 staff meeting per month to communicate the Secretary's initiatives
- Replace biennial Federal Human Capital Survey with annual Employee Viewpoint Survey, which will result in cost savings and positive feedback on meaningful data to agencies; results given to agencies by August 31, 20XX.

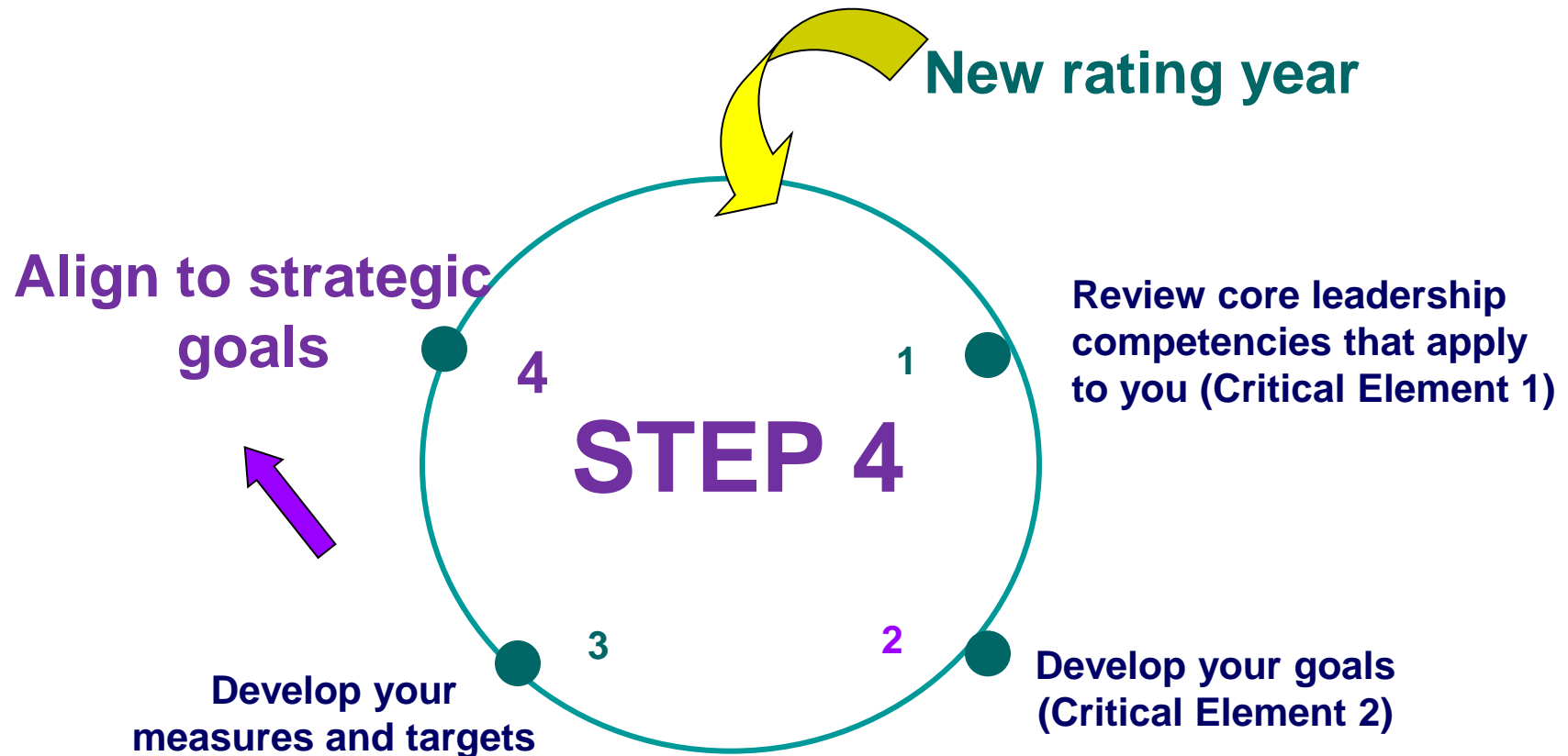
GOOD or BAD?

- Meet [agency] workload measure of an average of 315 staff days in order to issue final reports on completed audits by the end of the fiscal year.
- Engage senior leadership with monthly updates on unit production goals and measures
- Review and submit 42 project plans for 7 National Programs to [XX] which include a detailed 5-year action plan for a specific research agenda within each National Program and are rigorously peer reviewed by [XX} no later than by 9/30/10.

GOOD or BAD?

- **Serve as the executive champion over crosscutting issues and major management challenges and provides briefings to the [head of the agency] on a quarterly basis**
- **Make on-site visits to 10 field center to address resource requirements, communicate [agency] message, tour facilities and meet with staff by 9/30/XX**
- **Deliver monthly (12/year) iterations Basic Leadership workshops with surveys showing increases in reaction data to 89% of Partner Organization reps satisfied with overall training at the Center and 83% of reps satisfied that training addresses the right skills.**

DEVELOPING PERFORMANCE PLANS



ALIGNING TO STRATEGIC GOALS

How do I identify the strategic alignment of my non-FYHSP responsibilities?



REMEMBER: Align to the current strategic document developed for DHS. Check with you PIO representative to be sure you have the correct one.

FINAL

OBJECTIVE 2.3

Element 2. Employee-Specific Performance Objectives (60% of overall rating)

Employee-Specific Performance Objectives. Each executive must have a Performance Plan with at least five employee-specific performance objectives that represent the key, measurable expectations to be met by the executive during the rating period. In completing the Annual Performance Review, the achievements of the executive must be evaluated and rated for each of the established performance objectives. Attach narrative evaluation at Part II, below.

Rating Score x Weight Factor =
Weighted Score

Rating Score	Weight Factor	Weighted Score
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2.3 Performance Objective: Create an effective removal process that secures our nation by expeditiously removing illegal aliens and other threats

Non-FYHSP objective

This measure describes full performance in this rating period and the employee will have “achieved expectations” with outcomes that:

Transition to measure and targets

- increase the number of worksite enforcement investigations that result in criminal arrests by 50% by 9/3
- increase removal time to within 2 months of the order being issued by 6/30/XX
- decrease incarceration costs by 25% with reduced removal time by 7/31/XX

Quantity, timeliness and cost effectiveness measures and targets

Strategic Link:

DHS Strategic Goal 1 - Protect our nation from dangerous people

From Department Strategic Plan

ICE Strategic Objective 2.1: eliminate conditions that encourage aliens to illegally enter the U.S.

From Component Strategic Plan

SOURCES OF HELP

Where can you get additional help?

- **Component Performance Improvement Council Officer (PIO) representatives**
- **Component Executive Resources staff**
- **DHS Executive Resources staff**
- **DHS PIO staff**

2013 SES Performance Ratings and Awards Summary

Career Ratings					
	U	MS	AX	EE	AE
2011	0.0%	0.2%	12.9%	40.8%	45.1%
2012	0.2%	0.3%	9.9%	37.9%	51.7%
2013	0.0%	0.5%	7.5%	37.2%	54.7%

Average Performance Bonus					
Guidelines	0	0	0%	5-6%	7-9%
2011	U	MS	AX	EE	AE
	0.0%	0.0%	0.0%	6.0%	8.6%
	0	0	0%	5-6%	7-9%
2012	U	MS	AX	EE	AE
	0.0%	0.0%	0.0%	5.2%	7.0%
	0	0	0	5%	6-7%
2013	U	MS	AX	EE	AE
	0.0%	0.0%	0.0%	5.0%	6.1%

Average Pay Adjustment					
Guidelines	0	0	0	0	0
2011	U	MS	AX	EE	AE
	0.0%	0.0%	0.0%	0.0%	0.0%
	0	0	0	0	0
2012	U	MS	AX	EE	AE
	0.0%	0.0%	0.0%	0.0%	0.0%
	0	0	0	0	0
2013	U	MS	AX	EE	AE
	0.0%	0.0%	0.0%	0.0%	0.0%

2013 SL/ST Performance Ratings and Awards Summary

Ratings					
	U	MS	AX	EE	AE
Average Rating	0.0%	0.5%	7.5%	37.2%	54.7%
Performance Awards					
Guidelines	0	0	0	up to \$4,000	\$4,001-\$6,000
	U	MS	AX	EE	AE
Average Performance Award				\$3,350	\$5,269
Pay Adjustments					
Guidelines	0	0	0	0	0
	U	MS	AX	EE	AE
Average Pay Adjustment	0.0%	0.0%	0.0%	0.0%	0.0%

Please note, the DHS SL/ST population is small (52 total in 2013). Performance summary data for SL and ST employees was combined to ensure confidentiality.